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Docker No. GC3962

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

TRANSMITTAL LETTER FOR MISSING PARTS OF APPLICATION

BOX SEQUENCE Assistant Director for Patents Washington, D.C. 20231

March 20, 2001

Sir:

In complete response to the Notice to Comply with Requirements for Patent Applications containing Nucleotide Sequence and/or amino Acid Sequence disclosures dated February 27, 2001.

[X] Preliminary Amendment

[X] Statement of Sameness

[X] Paper copy of Sequence Listing (9 pages)

[X] Diskette copy of Sequence Listing

[X] Form PTO-1533 (copy of Notice to be returned with response); and

The Director is hereby authorized to charge any fees under 37 C.F.R. §§ 1.16, 1.17, and 1.21 that may be required by this paper, and to credit any

US Serial No. 09/262,126 Page 2

overpayment, to Deposit Account No. 07-1048 (Docket No. GC396-2). A duplicate of this paper is enclosed.

Respectfully submitted,

Date: March 20, 2001

Richard T. Ito

Registration No. 32,242

Genencor International, Inc. 925 Page Mill Road Palo Alto, CA 94304-1013

Tel: (650) 846-4020 Fax: (650) 845-6504

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Application No.: <u>09/262,126</u>

NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 C.F.R. 1.821 - 1.825 for the following reason(s):

	 This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to these regulations, published at 1114 OG 29, May 15, 1990 and at 55 FR 18230, May 1, 1990.
	2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 C.F.R. 1.821(c).
	3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e).
X	4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing."
	5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A Substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d).
	6. The paper copy of the "Sequence Listing" is not the same as the computer readable from of the "Sequence Listing" as required by 37 C.F.R. 1.821(e).
	7. Other: The specification must be amended to include SEQ ID NOS, where applicable.
Ap	plicant Must Provide:
X	An initial or <u>substitute</u> computer readable form (CRF) copy of the "Sequence Listing".
	An <u>initial</u> or substitute paper copy of the "Sequence Listing", as well as an amendment directing its entry into the specification.
X	A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 C.F.R. 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d).

For questions regarding compliance to these requirements, please contact:

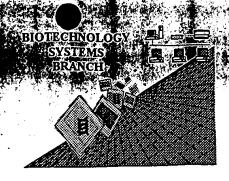
For Rules Interpretation, call (703) 308-4216

For CRF Submission Help, call (703) 308-4212

For Patentin software help, call (703) 308-6856

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The Biotechnology Systems Branch of the Scientific and Technical Information Center (STIC) detected errors when processing the following computer readable form:

form:
Application Serial Number: 09/262, /26B

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FOR CRF SUBMISSION QUESTIONS, PLEASE CONTACT MARK SPENCER, 703-308-4212.

FOR SEQUENCE RULES INTERPRETATION, PLEASE CONTACT ROBERT WAX, 703-308-4216. PATENTIN 2.1 e-mail help: patin21help@uspto.gov or phone 703-306-4119 (R. Wax) PATENTIN 3.0 e-mail help: patin3help@uspto.gov or phone 703-306-4119 (R. Wax)

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Checker Version 3.0 can be down loaded from the USPTO website at the following address: http://www.uspto.gov/web/offices/pac/checker



RAW SEQUENCE LISTING

PATENT APPLICATION: US/09/262,126B

1600

pp1-2,5 Imput Set : A:\GC396-2 seq.txt Output Set: N:\CRF3\02222001\1262126B.raw **Does Not Comply** 3 <110> APPLICANT: Miller, Brian S. Corrected Diskette Needec Shetty, Jayarama K. same en pullulanase

09/262,1268
3-03

vs Version 3.0

C, or G

tatttttgee etgetggtga ttateaacet ggtggggetg aataegattt caateaaceg gatattecag gaaacccaag teaggtagga 180 42217, 42227, gatgtgagee etgacegeta catagattta 240 ggaaacagee aaattttta taatgaaaaa 300 6 <120> TITLE OF INVENTION: Modified Forms of Pullulariase 9 <130> FILE REFERENCE: GC396-2 11 <140> CURRENT APPLICATION NUMBER: 09/262,126B 12 <141> CURRENT FILING DATE: 1999-03-03 14 <160> NUMBER OF SEQ ID NOS: 9 16 <170> SOFTWARE: FastSEQ for Windows Version 3.0 18 <210> SEO ID NO: 1 19 <211> LENGTH: 2794 20 <212> TYPE: DNA 21 <213> ORGANISM: B. deramificans 23 <221> NAME/KEY: misc_feature 24 <222> LOCATION: (1)...(2794) 25 <223> OTHER INFORMATION: n = A, T, C, or G 27 <400> SEQUENCE: 1 gatgggaaca cqacaacqat cattqtccac tatttttocc cuqctqqtqa ttatcaacct tggagtctat ggatgtggcc aaaagacgga ggtggggctg aatacgattt caatcaaccg gotgaotott tiggagotgi tigdaagigot gatattooag gaaacccaag toaggiagga attatogito goactoaaga tiggaccaaa gaigtgagog cigacogota catagatita N 62237 1s shown. agcaaaggaa atgaggtgtg gcttgtagaa ggaaacagcc aaatitttta taatgaaaaa 300 gatgotgagg atgoagotaa accogotgta agcaacgott atttagatgo ttoaaaclag 360 34 gtgctggtta aacttagcca gccgttaact cttggggaag gnnnaagcgg ctttacggtt 420 35 catgacgaca cagcaaataa ggatatteca gtgacatetg tgaaggatge aagtettggt 480 36 caagatgtaa cogotgtttt ggcaggtaco ttocaacata tttttggagg ttocgattgg 37 goacetgata ateacagtae titattaaaa aaggigaeta acaateteta teaatietea 38 ggagatette etgaaggaaa etaccaatat aaagtggett taaatgatag etggaataat 660 39 cogagitace catolgacaa cattaattia acagicootg coggoggige acaegicaci 720 40 tittegtata ticegiceae teatgeagie taitgacaeaa tiaataatee taatgeggat 780 41 ttacaagtag aaagcggggt taaaacggat ctcgtgacgg ttactctagg ggaagatcca 840 gatgtgagec atactetgte catteaaaca gatggetate aggeaaagea ggtgataeet 42 900 43 cgtaatgtgc ttaattcatc acagtactac tattcaggag atgatcttgg gaatacctat 960 acacagaaag caacaacett taaagtetgg geaceaactt etacteaags aaatgttett 1029 45 ctttatgáca gtgcaacgg; ttctgtaaca aaaatcgtac ctatgacggc atcgggccat 1080 46. ggtgtgtggg aagcaacggt taatcaaaac cttgaaaatt ggtattacat gtatgaggta 1140 47 acaggecaag getetaceeg aacggetgtt gateettatg caactgegat tgeaceaaat 1200 48 ggaacgagag gcatgattgt ggacctggct aaaacagatc ctgctggctg gaacagtgat 1260 aaacatatta cgccaaagaa tatagaagat gaggtcatct atgaaatgga tgtccytgac 1320 ttttccattg accetaatte gggtatgaaa aataaaggga agtatttgge tettacagaa 1.380 aaaggaacaa agggccctga caacgtaaag acggggatag attccttaaa acaacttggg 1440 attactcatg ttcagcttat gcctgttttc gcatctaaca gtgtcgatga aactgatcca 1500 acceaagata attggggtta tgaccetege aactatgatg tteetgaagg geagtatget 1560 acaaatgega atggtaatge kegtataaaa gagtttaagg aaatggttet tteacteeat 1620 cgtgaacaca ttggggttaa catggatgtt gtctataatc atacctttgc cacgcaaatc 1680 1740 totgacttog ataaaattgt accagaatat tattaccgta cgatgatcca ggtaattata ccaacggatc aggtactgga aatgaaattg cangengaaa ggccaatggt tcaaaaattt 1800 attattgatt coottaagta ttgggtcaat gagtatcata ttgacggott cogttttgac 1860

DATE: 02/23/2001

TIME: 12:09:01

RAW SEQUENCE LISTING DATE: 02/22/2001 PATENT APPLICATION: US/09/262,126B TIME: 12:09:01

Input Set : A:\GC396-2 seq.txt

Output Set: N:\CRF3\02222001\I262126B.raw

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60 aatocaggaa Etgoacttta oggtgagoca Eggacgggtg gaacototgo abtgchagat
61 gateagette tgacaaaagg ageteaaaaa ggeatgggag tageggtgtt taatgacaat
62 tracgaaacg cgtrggacgg caargrottr garrotrocg broadgrift rgcgacaggr
63 gcaacaggot taactgatgo aattaagaat ggogttgagg ggagtattaa tgactttaco
    trificaceag gigagacaat taactatgic acaagicaty asaactacae footsaggae
65 aaaatagood taagcaatoo taatgattoo gaagoggato ggaftaaaaat jyatpuadto
    gcacaagcag tigttatgas ctcacaagge gttocattca tgcaaggegg gjesganatg
    cttogtanaa aaggoggcaa ogacaatagt tataatycag yogatgoggt caatgagttt
    gattggagea ggaaagetea atateeagat gtthteaact attatagegg getaiteeae
69 officiently atcacecage officegoaty acgaeageta argaeatesa tagecacete
70 caatteetaa atagteeaga gaacacagtg gootatgaat taactgatea tgitaataaa
71 gacaaatggg gaaatatcat tgttgtttat aacccaaata aaactgtagc aaccatcaat
   ttgccgagcg gyaaatggge aatcaatgot acgageggta aggtaggaga atccaccott
na ggreaageag agggaagtgt ceaagtacea ggtatateta igatgateet teatenagag
74 gtaagcecag accaeggtaa aaagtaatag aaaa
76 <210> SEQ ID NO: 2
77 <211> LENGTH: (958
78 <212> TYPE: PRI
79 <213> ORGANISM: B. deramificans
81 <220> FEATURE:
82 <221> NAME/KEY: VARIANT
83 <222> LOCATION: (1)...(956)
84 <223> OTHER INFORMATION: Xaa = Any Amino Acid
86 <220> FEATURE:
87 <221> NAME/KEY: VARIANT
88 <222> LOCATION: (957)...(957)
39 <223> OTHER INFORMATION: (XMa = gap of indeterminate length
31 <400> SEQUENCE: 2
92 Met Ala Lys Lys Leu Ile Tyr Val Cys Leu Ser Val Cys Leu Val Leu
93
                                        10
94
    Thr Trp Ala Phe Asn Val Lys Gly Gln Ser Ala His Ala Asp Gly Asn
95
96
    Thr Thr Thr Ile Ile Val His Tyr Phe Cys Pro Ala Gly Asp Tyr Gln
97
98
    Pro Trp Ser Leu Trp Met Trp Pro Lys Asp Gly Gly Gly Ala Glu Tyr
99
                            .75
100
    Asp Phe Asn Gln Pro Ala Asp Ser Phe Gly Ala Val Ala Ser Ala Asp
101
                                             75
102
     Ile Pro Gly Asn Pro Ser Gln Val Gly Ile Ile Val Arg Thr Gln Asp
103
     Trp Thr Lys Asp Val Ser Ala Asp Arg Tyr Ile Asp Leu Ser Lys Gly
105
                 100
                                     105
106
     Ash Glu Val Trp Leu Val Glu Gly Ash Ser Gln Ile Phe Tyr Ash Glu
107
                                120
                                                     125
108
     Lys Asp Ala Glu Asp Ala Ala Lys Pro Ala Val Ser Asn Ala Tyr Leu
109
                            135
                                                 140
110
    Asp Ala Ser Asn Gln Val Leu Val Lys Leu Ser Gln Pro Leu Thr Leu
111
```

Xaa can only represent a single ameno acid. Ger 1.822(d)(5)(e) of new Seguera Rulis, "A segueree with a gap or gaps sholl be presented as a plurality of separate sequerous. However, serie only one anno acid follows gap, and at least four anend acids are needed for a sequence delete last and

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1.980

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see p. 5

RAW SEQUENCE LISTING DATE: 02/22/2001 PATENT APPLICATION: US/09/262,126B TIME: 12:09:01

Input Set : A:\GC396-2 seq.txt

Output Set: N:\CRF3\02222001\1262126B.raw

W~->	112 113	Gly	Glu	Gly	Xaa	Ser 165	Cly	Phe	Thr	Val	Hi.s 170	Asp	Asp	Thr	Al.a	Asn 175	Lys
	114 115	_			130				-	135					Gln 190	_	
	116 117	Thr	Ala	Val 195	Leu	Ala	Gly	Thr	Phe 200	Gln	His	Ile	Phe	Gly 205	Gly	Ser	Asp
	118 119	Trp	Ala 210	Pi	Asp	Asn	His	Ser 215	The	Leu	Leu	Lys	Lys 220	Val	Thr	Asn	Asn
	120 121	Leu 225	Tyr	Gln	Phe	Ser	Gly 230	Asp	Leu	Pro	Glu	Gly 235	Asn	Tyr	Gln	Tyr	L73 240
	122 123	Val	Ala	Leu	Asn	Asp 245	Ser	Trp	Asn	Asn	Ser 250	Tyr	Pro	Ser	Asp	Asn 255	lle
	124 125				260			•	•	265					Ser 270	_	
	126 127			275				_	280					285	Asn		_
	128 129		290					295					300		Val		
	130 131	305		_		•	310					315			Thr	-	320
	132 133				•	325				•	330				Ser	335	
	134 135	_	_		340	_	_	_		345			_		Gln 350		
	136			355	_	•	_		360					365	Asn		
	138		370	-				375				-	380		Pro		
	140	385		_		_	390	_				395			Asn		400
	142					405					410				Thr	415	
	144 145 146				420					425					430 Asn		
	147 148			435	_			_	440	_				445	Tyr	•	_
	149 150	_	450				_	455			_		460		Lys		
	151 152	465		_	_		470		_			475	_		Pro		480
	153 154					485					490					495	
	155 156		-		500		_			505			_		510 Thr		
	157 158			515					520				_	525	Val	_	
	159 160		530					535					540		Lys		
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RAW SEQUENCE LISTING DATE: 02/22/2091 PATENT APPLICATION: US/09/262,126B TIME: 12:09:01

Input Set : A:\GC396-2 seq.txt
Output Set: N:\CRF3\02222001\1262126B.raw

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	162		Glu	Met	Val	Leu		Leu	His	Arq	Glu		He	Gly	Val	Asn	
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	1.64	Asp	Val	Val	Tyr	Asa	His	Thr	Phe	Ala	Thr	Gin	He	Ser	Asp	Phe	Asp
	165				580					585					590		
	166	Lys	Ile	Val	Pro	Glu	Tyr	Tyr	Tyr	Arg	Thr	Met	Ile	Gln	Val	Ile	Ile
	167			595					600					605			
W>	168	Pro	Thr	Asp	Gln	Val	Leu	Glu	Met	Lys	Leu	Xaa	Ala	Glu	Arg	Pro	Met
	169		610					615					620				
	170	Val	Gln	Г'nг	Phe	He	Ile	Asp	Ser	Leu	Lys		Trp	Val	Asn	Glu	Tyr
	171	625					630				,	635					640
	172	His	Ile	Asp	GLy	Phe	Arg	Phe	Asp	Leu	Met.	Ala	Leu	Leu	Gly	Lys	Asp
	173					645					650					655	
	174	Thr	Met	Ser	_	Ala	Ala	Ser	Glu		His	Ala	Ile	Asn		Gly	Ile
	175				660					665	_				670		
	176	Ala	Leu	_	Gly	Glu	Pro	Trp		Gly	Cly	Thr	Ser		Leu	Pro	Asp
	177		0.1	675		mı		a 1	680	- 1	_	- 1		685			
	178	Asp		ren	Leu	Thr	Lys	_	ALa	Gin	Lys	GIŢ		GLY	va I.	Ala	Val
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	180	705	ASII	ASP	ASII	ren	710	ASII	Ala	Leu	Asp	715	ASII	val	Phe	Asp	
	132		515	C1 5	614	Disa		miles	Clu	2.1 %	The		Lou	The	Z.a.a	A 1 5	720 Tlo
	183	24:1	ALG	GIII	GTÀ	725	RIG	1111	GIY	ALG	Thr 730	Giy	Leu	lili	ASP	735	116
	184	Tws	Agn	Glv	Va l		G1v	Ser	Tla	Asn	Asp	Pho	Thr	Sar	Sar		Glv
	185	T. 7	110	017	740	014	OTY	501	110	745	11176	: 110	-, 111	50.1	750	110	CLY
	186	Glu	Thr	Ile		Tyr	Val	Thr	Ser		Asp	Asn	Τvr	Thr		Tro	Asp
	187			755					760		t-			765		[-	
	188	Lys	Ile	Ala	Leu	Ser	Asn	Pro		Asp	Ser	Glu	Ala	Asp	Arg	Ile	Lvs
	139	•	770					775		•			780	•	-		•
	190	Met	Asp	Glu	Leu	Ala	Gln	Ala	Val	Val	Met	Thr	Ser	Gln	Gly	Val	Pro
	191	785					790					795			_		800
W>	192	Phe	Met	Gln	Gly	Gly	Glu	Glu	Met	Leu	Arg	Xaa	Lys	Gly	Gly	Asn	Asp
	193					805					810					815	
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•	195				820					825					830		
	196	Lys	Ala		Туг	Pro	Asp	Val		Asn	Tyr	Tyr	Ser	_	Leu	Ile	His
	197			835					840					845			
	198	Leu		Leu	Asp	His	Pro		Phe	Arg	Met	Thr		Ala	Asn	Glu	Ile
	199		850			a 1		855		_	_	۵,	860				-
	200		Ser	HIS	Leu	GTU		Leu	Asn	Ser	Pro		Asn	Thr	Val	Ala	
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	208	Gly	Gln		Glu	Glv	Ser	Val		Va 1	Pro	Glv	Tle		Mat.	Met.	Tle
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RAW SEQUENCE LISTING DATE: 02/22/2001 PATENT APPLICATION: US/09/262,126B TIME: 12:09:01

Input Set : A:\GC396-2 seq.txt

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Output Set: N:\CRF3\02222001\1262126B.raw

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	214	<2112	> LE	NGTH	: 718	3											
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	213	<4005	> SE(JUENO	JE: 1	3											
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	221	Lle	He	Thr	Val	Leu	Ile	Pro	Ala	G1a	Gln	Lys	Glu	Ile	Met.	Thr	Pro
	222				20					25					30		
	223	Pro	Phe	Arg	Leu	Glu	Thr	Glu	Ile	Thr	Asp	Phe	Pro	Leu	Ala	Val	Arg
	224			35					40		-			45			_
	225	Glu	Glu	Tyr	Ser	Leu	Glu	Ala	Lys	Tyr	Lys	Tyr	Val	Cys	Val	Ser	Asp
	226		50	-				55	-	-	•	-	60	_	•		_
	227	His	Pro	Val	Thr	Phe	Gly	Lvs	He	His	Cys	Val	Arq	Ala	Ser	Ser	Gly
	228	65					70	•			•	75	•				80
	229	His	Lys	Thr	Asp	Leu	Gln	Ile	Glv	Ala	Val	Ile	Arq	Thr	Ala	Ala	Phe
	230		•		•	85			-		90					95	
	231	Asp	Asp	Glu	Phe	Tyr	Tyr	Asp	Gly	Ğlu	Leu	Gly	Ala	Val	Tyr	Thr	Ala
	232	-	•		100	•	•	•	•	105		-			110		
	233	Asp	His	Thr	Val	Phe	Lvs	Val	Tro	Ala	Pro	Ala	Ala	Thr	Ser	Ala	Ala
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	238	145	25 (1) (1)	.,	<u> </u>	0	150	- 1 -			~	155			T. C.		160
	239		Tyr	Glu	ጥህድ	Leu		Cys	Tle	Cvs	Asn		Ser	Glu	Tro	Met	
	240	,	- 2		- , -	165		-1-		-3-	170				L	175	
	241	Thr	Val	Asp	G1n	Tyr	Ala	Lys	Ala	Val		Va l	Asn	Glv	Glu		Glv
	242			- To	180	- 2 -		-1-		185				;	190	-1-	1
	243	Val	Val	Læn		Pro	Asp	Gln	Met		Tro	Thr	Ala	Pro		Lvs	Pro
	244		,	195					200	-2 -	I-			205			
	245	Phe	Ser		Pro	Va.l	Asp	Ala		Ile	Tyr	Glu	Thr		Leu	Ara	Asp
	246		210					215			- 1 -		220		-3-0-0	5	
	247	Phe		Ile	His	Glu	Asn		Glv	Met	Ile	Asn		Glv	Lvs	Tvr	Leu
	248	225		110		010	230	001	01,			235	270	U -1	-,, -	-4-	240
	249		Leu	Thr	Glu	Thr		Thr	Gln	Thr	Ala		Glv	Ser	Ser	Ser	
	250				02.0	245		•			250					255	1
	251	[.en	Ala	Tyr	Val	Lys	Glu	Leu	Glv	Val		His	Val	Glu	Leu		Pro
	252	2.714		-1-	260	2,0	014		4 - 2	265					270		
	253	Va!	Asn	Asp		Ala	Glv	Va l	Asp		Glu	Lvs	Pro	Leu		Ala	Tyr
	254			275		,	<u>1</u>		280		O L U	~ 1 €,		285			+1 +
	255	Asn	Time		Tur	Asn	Pro	Len		2ha	Phe	Δla	Pro		G19	Ser	Tur
	256	11011	290	OTY	* ! *	11011		295	11.4.3			4 3 4 54	300	ULU	O.L.		*1*
	257	Lla		Arn	Pro	His	Aen		Gla	Thr	Ara	Lve		Glu	I.eu	Lve	Gln
	258	305	JUL	41-511		11.1.3	31.0	1 + 0	411.0	4114	nr A	315	1111	Ų I U	11 C	213	320
-	259		110	Aen	ጥትንን	Leu	•	Glo	ніе	Gly	Leu		Val	T] (2	Leu	Aen	
	260	1100	4.40	2311	1111	325	1113	0111		011	330	nr y	, u I	116	we u	335	• 4 1
	÷00					د کر د					220					ددر	

VERIFICATION SUMMARY

DATE: 02/22/2001 TIME: 12:09:02

PATENT APPLICATION: US/09/262,126B

Input Set : A:\GC396-2 seq.txt Output Set: N:\CRF3\02222001\I262126B.raw

L:34 M:250 W: Mandatory Feature missing, <220> not found for SEQ ID#:1 1:34 M:346 W: (46) "n" or "Xaa" used: Peature required, for SEQ ID#:1 $L(:57\ \text{M}:258\ \text{W}:\ \text{Mandatory Feature missing,}$ <220> not found for SEQ ID#:1

M:340 Repeated in SeqNo=1

L:67 M:258 W: Mandatory Feature missing, <220> not found for SEQ ID#:1

L:112 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:2 L:168 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:2 L:192 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:2 L:210 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:2